



Attorney Docket No. 1454.1055

2151/15

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:

Oliver PFAFF

Application No.: 09/806,522

Filed: March 30, 2001

CPA Filing Date (if applicable): n/a

Group Art Unit: 2151

Examiner: To be assigned

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For: ARRANGEMENT AND METHOD FOR CODING AND DECODING DIGITAL DATA ON  
THE BASIS OF THE INTERNET PROTOCOL

Assistant Commissioner for Patents  
Washington, D.C. 20231

**INFORMATION DISCLOSURE STATEMENT**

In accordance with the duty of disclosure provisions of 37 C.F.R. §1.56, there is hereby provided certain information which the Examiner may consider material to the examination of the subject U.S. patent application. It is requested that the Examiner make this information of record if it is deemed material to the examination of the subject application.

1. Enclosures accompanying this Information Disclosure Statement are:

- 1a. ☒ Form PTO-1449.
- 1b. ☒ Copies of IDS citations. (If box not checked, see Item 6, below)
- 1c. ☐ An English language copy of search report(s) from a counterpart foreign application or a PCT International Search Report.
- 1d. ☐ English language translation (complete or relevant portion(s)) attached to each non-English language publication.
- 1e. ☐ Explanations of Relevancy of References (ATTACHMENT 1(e), hereto) for providing a concise explanation of each non-English publication.
- 1f. ☐ List of Copending Applications (ATTACHMENT 1(f), hereto).
- 1g. ☐ List of Additional Submitted Documents (ATTACHMENT 1(g), hereto).

2. ☒ This Information Disclosure Statement is filed under 37 C.F.R. §1.97(b):

(Check either Item 2a or 2b)

- 2a. ☒ before the latter of three (3) months after the U.S. patent application filing date or before the first Office Action on the merits therein; or
- 2b. ☐ with the filing of a Request for Continued Examination (RCE) or Continued Prosecution Application (CPA) and before the first Office Action on the merits therein.

2c. ☐ during 3-month suspension requested concurrently with filing of CPA or RCE

2d. ☐ with responses to Notice of Missing Parts in relation to CPA filed \_\_\_\_\_.  
Accordingly, no fee or § 1.97(e) Statement is required.

3. ☐ This Information Disclosure Statement is filed under 37 C.F.R. §1.97(c) after the first Office Action on the merits, but before a Final Office Action or a Notice of Allowance.

*(Check either Item 3a or 3b; Item 3b to be checked if  
any reference known for more than 3 months)*

- 3a. ☐ The §1.97(e) Statement in Item 5 below is applicable. Accordingly, no fee is required.
- 3b. ☐ The \$180.00 fee set forth in 37 C.F.R. §1.17(p) in accordance with 37 C.F.R. §1.97(c) is:  
☐ enclosed.  
☐ to be charged to Deposit Account No. 19-3935.

4. ☐ This Information Disclosure Statement is filed under 37 C.F.R. §1.97(d) after the Final Office Action or the Notice of Allowance, but before payment of the Issue Fee.

The § 1.97(e) Statement (Item 5 below) is applicable.

The \$180.00 fee set forth in 37 C.F.R. §1.17(p) in accordance with 37 C.F.R. §1.97(d) is:  
☐ enclosed.  
☐ to be charged to Deposit Account No. 19-3935.

5. ☐ Statement under § 1.97(e) (*applicable if Item 3a or Item 4 is checked*)

*(Check either Item 5a or 5b)*

- 5a. ☐ In accordance with 37 C.F.R. §1.97(e)(1), it is stated that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.
- 5b. ☐ In accordance with 37 C.F.R. §1.97(e)(2), it is stated that no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned after making reasonable inquiry, no item of information contained in this Information Disclosure Statement was known by any individual designated in §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

6. ☐ This is a continuation/divisional/continuation-in-part application under 37 C.F.R. §1.53(b).

*(Check appropriate Items 6a and/or 6b)*

- 6a. ☐ Copies of the publications listed on the attached Form PTO-1449 which were previously cited in prior application Serial No. \_\_\_\_\_, filed on \_\_\_\_\_, of which this application claims priority under 35 U.S.C. §120, have been omitted pursuant to 37 C.F.R. §1.98(d).
- 6b. ☐ Copies of the publications listed on the attached Form PTO-1449 which were not previously cited in prior application Serial No. \_\_\_\_\_, filed on \_\_\_\_\_, of which this application claims priority under 35 U.S.C. §120, are provided herewith.

7. ☐ This is a continuation/divisional application under 37 C.F.R. §1.53(d).

*(Check either Item 7a or 7b)*

- 7a. ☐ The Issue Fee has not been paid.
- 7b. ☐ A Petition to Withdraw from issue under 37 C.F.R. §1.313(b)(5) is filed concurrently herewith or has been granted. A continuation application under 37 C.F.R. §1.53(d) after payment of the Issue Fee is proper in accordance with 37 C.F.R. §1.53(d)(1)(ii).

8. ☐ This is a Supplemental Information Disclosure Statement.

*(Check either Item 8a or 8b)*

- 8a. ☐ This Supplemental Information Disclosure Statement under 37 C.F.R. §1.97(f) supplements the Information Disclosure Statement filed on \_\_\_\_\_. A bona fide attempt was made to comply with 37 C.F.R. §1.98, but inadvertent omissions were made. These omissions have been corrected herein. Accordingly, additional time is requested so that this Supplemental IDS can be considered as if properly filed on \_\_\_\_\_.
- 8b. ☐ This Supplemental Information Disclosure Statement is timely filed within one (1) month of the Notice under 37 C.F.R. §1.97(i), mailed \_\_\_\_\_. (MPEP 609, Form ¶ 6.51, July 1997.)

9. ☒ In accordance with 37 C.F.R. §1.98, a concise explanation of what is presently understood to be the relevance of each non-English language publication is:

*(Check appropriate Items 9a, 9b, 9c and/or 9d)*

- 9a. ☐ satisfied because all non-English language publications were cited on the enclosed English language copy of the PCT International Search Report or the search report from a counterpart foreign application indicating the degree of relevance found by the foreign office. (See U.S. Patent & Trademark Office's authorization in the Federal Register, Vol. 57, No. 12, January 17, 1992, at page 2031 (Reply to Comment 68).)
- 9b. ☒ set forth in the application.
- 9c. ☐ satisfied because an English language translation (complete or relevant portion(s)) is attached to each non-English language publication.
- 9d. ☐ enclosed as Attachment 1(e), hereto.
10. No admission is made that the information cited in this Statement is, or is considered to be, material to patentability nor a representation that a search has been made (other than search report(s) from a counterpart foreign application or a PCT International Search Report, if submitted herewith). 37 C.F.R. §§ 1.97(g) and (h).

11. The Commissioner is authorized to credit any overpayment or charge any additional fee required under 37 C.F.R. §1.17 for this Information Disclosure Statement and/or Petition to Deposit Account No. 19-3935.

Respectfully submitted,

STAAS & HALSEY LLP

Dated: July 31, 2001

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FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

ATTORNEY DOCKET NO.

1454.1055

APPLICATION NO.

09/806,522

## LIST OF REFERENCES CITED BY APPLICANT

(Use several sheets if necessary)

FIRST NAMED INVENTOR

Oliver PFAFF

FILING DATE

March 30, 2001

GROUP ART UNIT

2151

## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	DOCUMENT NO.	DATE	NAME	CLASS	SUB- CLASS	FILING DATE
AA						

## FOREIGN PATENT DOCUMENTS

DOCUMENT NO.	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION YES NO
AB ✓ EP0840482A1	5/98	Europe			

## OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)

AC ✓	Patent Abstracts of Japan, Publication No. 10154994, published June 9, 1998, European Patent Office.
AD ✓	Patent Abstracts of Japan, Publication No. 10023072A, published January 23, 1998, Japanese Patent Office.
AE ✓	Andrew S. Tanenbaum, Computer-Netzwerke, Wolfram's Fachverlag, 2. Auflage, ISBN 3-925328-79-3, pp17-24, 1992. (No translation)
AF ✓	Robert M. Hinden, IP Next Generation Overview, Communications of the ACM, Vol. 39, No. 6, pp61-71, June 1996. DL
AG ✓	David A. Wagner et al., A "Bump in the Stack" Encryptor for MS-DOS Systems, in Proceedings of the Symposium on Network and Distributed System Security, San Diego, CA, pp155-160, February 1996. DL
AH ✓	Kazuhiko Yamamoto et al., Deployment and Experiences of the WIDE 6bone, INET 98, July 30, 1998. DL
AI ✓	Derrell Piper, A GSS-API Authentication Mode for ISAKMP/Oakley, December 18, 1997, pp.1-8.
AJ ✓	Derrell Piper, The Internet IP Security Domain of Interpretation for ISAKMP, July 7, 1998, pp1-31.
AK ✓	D. Piper, The Internet IP Security Domain of Interpretation for ISAKMP, November 1998, pp1-21.
AL ✓	T. Hardjono, B. Cain et al., A Framework for Group Key Management for Multicast Security, July 98, pp.1-23.
AM ✓	R. Atkinson, Request for Comments 1825, Security Architecture for the Internet Protocol, Network Working Group, pp1-22, August 1995, pp.1-22.
AN ✓	R. Pereira et al., The ISAKMP Configuration Method, May 13, 1998, pp.1-12.

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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Sheet 2 of 2

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## FOREIGN PATENT DOCUMENTS

		DOCUMENT NO.	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION YES NO	
	BB							

## OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)

	BC	✓	D. Harkins et al., Cisco Systems, The Internet Key Exchange (IKE), June 1998.
	BD	✓	D. Harkins et al., Cisco Systems, The Internet Key Exchange (IKE), November, 1998, pp1-3.
	BE	✓	R. Pereira, Extended Authentication Within ISAKMP/Oakley, May 13, 1998, pp.1-10.
	BF	✓	Rodney Thayer, PKI Requirements for IP Security, 13 September 1998, pp.1-23.
	BG	✓	R. Atkinson, Request for Comments 1826, IP Authentication Header, August 1995, pp.1-13.
	BH	✓	R. Atkinson, Request for Comments 1827, IP Encapsulating Security Payload (ESP), pp.1-12.
	BI	✓	P. Metzger et al., Request for Comments 1828, IP Authentication Using Keyed MD5, p.i and pp.1-5.
	BJ	✓	P. Karn et al., Request for Comments 1829, The ESP DES-CBC Transform, pp.1-10.
	BK	✓	Douglas Maughan et al., Internet Security Association and Key Management Protocol (ISAKMP), July 1998, pp.1-6.
	BL	✓	Douglas Maughan et al., Internet Security Association and Key Management Protocol (ISAKMP), November 1998.
	BM		Baiju V. Patel et al., Revised SA Negotiation Mode for ISAKMP/Oakley, November 1997.
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